

WELCOME!

This booklet is designed to help you do these things:

- assess your eligibility for NHPRC grant assistance
- understand how and when to apply
- create a successful application
- administer your NHPRC grant

Just follow the steps below. Throughout we provide boxes to check so you can easily keep track of what applies to your project. If at any time you feel confused about a step or uncertain about how to answer a question within it, please consult an NHPRC staff member in any of the following ways:

- call us at (202) 501-5610
- fax us at (202) 501-5601
- e-mail us at nhprc@arch1.nara.gov
- write us at NHPRC, National Archives and Records Administration, 700 Pennsylvania Avenue, NW, Room 106, Washington, DC 20408-0001

Also, when you finish drafting your grant proposal, ask us to give it a preliminary review so that we can help you strengthen it before you submit it officially.

As you use this booklet, please remember that the National Historical Publications and Records Commission is a program within the National Archives and Records Administration with a mandate defined as follows:

The NHPRC exists to carry out its statutory mission to ensure understanding of our nation's past by promoting, nationwide, the identification, preservation, and dissemination of essential historical documentation.

For these purposes the Archivist of the United States makes grants on the recommendation of the Commission, whose fourteen other members are appointed by the President of the United States, the Congress, the Federal judiciary, the Secretaries of State and Defense, the Librarian of Congress, the American Association for State and Local History, the American Historical Association, the Association for Documentary Editing, the National Association of Government Archives and Records Administrators, the Organization of American Historians, and the Society of American Archivists.

For further background, please see our authorizing statute (44 USC 25), the Code of Federal Regulations (36 CFR 1206), the Catalog of Federal Domestic Assistance (section 89.003), and Federal grant guidelines from the U.S. Office of Management and Budget. The NHPRC guidelines presented here are derived from those documents.

We hope you qualify for an NHPRC grant. The steps for applying begin on the next page.

STEP ONE

Assess Whether You Are Eligible To Apply

Question 1: Are you or your organization legally established and located within one of the following:

- ☐ a state within the United States?
- ☐ the District of Columbia?
- ☐ the Commonwealth of Puerto Rico?
- ☐ a U.S. territory?

If your answer is “yes” to any one of the four items above, you may proceed.

Question 2: Are you applying as one of the following:

- ☐ a non-profit organization or institution?
- ☐ a state or local government agency?
- ☐ a Federally acknowledged or state-recognized Native American tribe or group?
- ☐ a United States citizen?

If you answered “yes” to any of the four items above, then you appear to be eligible and may proceed. Sorry, but foreign nationals and for-profit organizations are not eligible.

STEP TWO

Assess Whether Your Project Is Eligible For Grant Support

Question 3: Is your project's focus an activity authorized in the NHPRC statute as follows:

- ☐ collecting, describing, preserving, compiling, and publishing (including microfilming and other forms of reproduction) of documentary sources significant to the history of the United States?
- ☐ conducting institutes, training and educational programs, and fellowships related to the activities of the Commission?
- ☐ disseminating information about documentary sources through guides, directories, and other technical publications?
- ☐ *or more specifically:* documentary editing and publishing; archival preservation and processing of records for access; developing or updating descriptive systems; creation and development of archival and records management programs; development of standards, tools, and techniques to advance the work of archivists, records managers, and documentary editors; and promotion of the use of records by teachers, students, and the public.

If you answered “yes” to any part of any question above, then please proceed to the next test of eligibility.

Question 4: Does your project deal with one or more of the following kinds of documentary source materials:

- ☐ records of state, county, municipal, tribal, or other non-Federal units of government?
- ☐ manuscripts, personal and family papers, or organizational and corporate archives?
- ☐ collections of photographs, motion pictures, sound recordings, electronic records, and/or such visual materials as unpublished architectural, cartographic, and engineering drawings?

If you answered “yes” to one or more items above, then please proceed to the remaining test of grant eligibility.

Question 5: Do you seek NHPRC grant funds for any of the following activities:

- ☐ to construct, renovate, furnish, or purchase a building or land?
- ☐ to purchase manuscripts or other historical records?
- ☐ to conserve or exhibit archaeological artifacts, museum objects, or works of art?
- ☐ to undertake historical research apart from the editing of documentary publications?
- ☐ to undertake an oral history project unrelated to Native Americans?
- ☐ to acquire, preserve, or describe books, periodicals, or other library materials?
- ☐ to acquire, preserve, or describe art objects, sheet music, or other works primarily of value as works of art or entertainment?
- ☐ to undertake a documentary editing project to publish the papers of someone who has been deceased for less than ten years?
- ☐ to undertake a project centered on the papers of an appointed or elected public official who remains in major office, or is politically active, or the majority of whose papers have not yet been accessioned in a repository?
- ☐ to process documents, a major portion of which will be closed to researchers for more than five years, or not be accessible to all users on equal terms, or will be in a repository that denies public access?
- ☐ to undertake an arrangement, description, or preservation project in which the pertinent documents are privately owned or deposited in an institution subject to withdrawal upon demand for reasons other than requirements of law?
- ☐ to undertake an arrangement, description, or preservation project involving Federal government records that are (a) in the custody of the National Archives and Records Administration (NARA), or (b) in the custody of some other Federal agency, or (c) have been deposited in a non-Federal institution without an agreement authorized by NARA? Note: Many Federally funded activities not directly undertaken by the Federal government produce documents that may in law be considered Federal records, including records produced under Federal contracts or grants. If your project deals with Federal records, you should talk further with the NHPRC staff.

If you answered “no” to all parts of Question 5, then congratulations—your project appears to be eligible, and you may proceed.

STEP THREE

Prepare To Meet Special Requirements For Certain Kinds of NHPRC Grants.

Question 6: Are you applying for a grant for a project that includes any of the following:

- ☐ a survey of records? If so, please be aware that the Commission generally funds surveys of records not in repositories only if they are critical elements of archival planning and development or other larger projects. The Commission does not generally support subject surveys of records already held in repositories when the sole project goal is development of a descriptive tool. Applications for survey projects should include a draft survey form and evidence of completion of a test survey. Applicants should discuss the purpose and methodology of the survey and explain how the results will be used.
- ☐ a project to convert documentary materials and existing finding aids to electronic form? If so, please be aware that the Commission generally prefers to spend its funds on basic preservation and access projects, except for the electronic publication of documentary editions.

- ☐ a project to restore or conserve individual documentary items? If so, please be aware that the Commission prefers not to invest its limited funds in the restoration of individual documents or in item-by-item conservation work, or in the production of copy negatives or reference prints for an entire photographic collection, particularly if there are alternative means of preserving information of historical interest.
- ☐ a project that will require more than 50 percent of its total costs from the NHPRC? If so, please be aware that the Commission prefers not to provide grant funds to cover more than half of the total costs of any project.

If your project falls into a category above, we recommend that you consult with our staff before proceeding.

Question 7: Are you applying for a grant for any of the following:

- ☐ a consultant?
- ☐ a project to use electronic media to enhance access to historical materials?
- ☐ a historical photographs project?
- ☐ a project to preserve and/or publish documents in microforms?
- ☐ a project involving Native American records?
- ☐ a publication subvention?
- ☐ a statewide planning, plan implementation, or regrant project?
- ☐ a fellowship project (either as a host or as a fellowship applicant)?
- ☐ an electronic records project (that is, a research-and-development project on preserving and/or providing access to collections of records originally created in electronic form)?

If your answer is “yes” to any one of these items, it is critical that you use supplementary information available from the Commission. Before you go any further with your application, please request from us the material we have prepared for projects like yours. Without seeing this material, you cannot prepare a competitive grant application. At the end of this booklet, you will find an information request form with which to order what you need. You may mail the order form, fax it, or request what you need by phone or e-mail.

If your project does not require consulting any of the supplementary information referred to above, or if you now have consulted such materials as apply to your project, then please proceed to the next step.

STEP FOUR

Determine If Your Project Is Eligible For Support At Top Priority

Question 8: Does your project fall within the boundaries of one or more of the three top-priority goals in the NHPRC Strategic Plan, as stated below?

- ☐ The NHPRC will provide the American public with widespread access to the papers of the founders of our democratic republic and its institutions by ensuring the timely completion of eight projects now in progress to publish the papers of George Washington, John Adams, Benjamin Franklin, Thomas Jefferson, James Madison, and papers that document the Ratification of the Constitution, the First Federal Congress, and the early Supreme Court.
- ☐ The NHPRC will promote broad public participation in historical documentation by collaborating with State Historical Records Advisory Boards to plan and carry out jointly funded programs to strengthen the nation’s archival infrastructure and expand the range of records that are protected and accessible.

- ☐ The NHPRC will enable the nation's archivists, records managers, and documentary editors to overcome the obstacles and take advantage of the opportunities posed by electronic technologies by continuing to provide leadership in funding research-and-development on appraising, preserving, disseminating, and providing access to important documentary sources in electronic form.

If your answer is "yes" to any one of the items above, your project appears to qualify for consideration at top priority. Top-priority projects receive first consideration as the Commission decides how to allocate its grant funds at the beginning of each fiscal year. Up to 60 percent of NHPRC grant funds can be spent on top-priority projects each year. However, at least 40 percent of NHPRC grant funds is reserved annually for other eligible projects, so even if your project does not fall in one of the top-priority categories above, it remains eligible for consideration and stands a chance of grant funding. Therefore, in either case, please proceed.

STEP FIVE

Determine When And Where To Submit Your Application

Question 9: Does your project fall within one of the three top-priority categories described above?

- ☐ If so, the package containing your application must be postmarked no later than June 1.
- ☐ If not, the package containing your application must be postmarked no later than October 1.

Our acceptance of late applications would be unfair to grant applicants who prepare and submit their applications on time. **Therefore, under no circumstances will an application be accepted if it is postmarked after the deadline.** In the event that the deadline falls on a Sunday or a Federal holiday, the application must be postmarked no later than the next business day.

We regret that, at the present time, we are unable to accept applications by fax or electronic mail. Please send your original application and copies to NHPRC, National Archives and Records Administration, 700 Pennsylvania Avenue, NW, Room 106, Washington, DC 20408-0001.

STEP SIX

Determine Whether Your Application Requires Contact With Your State Historical Records Advisory Board As Well As With The NHPRC.

Question 10: Are you applying for a grant to finance a project of one of the following kinds:

- ☐ to create a statewide plan for historical documentary work?
- ☐ to create a statewide program for implementing such a plan and/or regranting funds for documentary work?

If so, then you must be the authorized representative of the Historical Records Advisory Board in one of the states or U.S. territorial jurisdictions, or its Historical Records Coordinator. And if you checked the second box, your board must already have completed a statewide plan for meeting documentary needs. That is necessary because statewide regrant programs should meet needs identified in statewide plans.

Question 11: Are you applying for a grant to finance a project of one of the following kinds:

- ☐ a documentary editing or publication subvention project or program?
- ☐ a Native American project or program?
- ☐ a project of any kind whose work will largely take place within more than one state?

If you answered "yes" to any item above, you do not have to contact your state or territorial Historical Records Advisory Board. However, we recommend that, as a courtesy, you send an informational copy of your application to your state or territory's Historical Records Coordinator, who chairs its Historical Records Advisory Board. You will find a list of state coordinators and boards at the end of this booklet.

If you answered “no” to all three items above, then you must contact your state or territory’s Historical Records Coordinator, and do the following:

- ☐ describe your project;
- ☐ find out whether your state or territorial Historical Records Advisory Board requires submission of a copy of your application prior to the Commission’s deadline and follow the board’s pre-submission procedures; and
- ☐ provide at least one copy to the board at the same time as you submit your application to us. We request that you consult with the board regarding any need for additional copies.

The reason for contacting state or territorial boards is that they help the NHPRC review applications for support for archival and records management projects carried out within a single state or territory, and they evaluate grant proposals in part on the basis of their own priorities, so it will help you to know what the priorities are in your state or territory. If you will take advantage of the desire of your board to help you, it will advise you as to how you can make your proposal more competitive.

In short, you have much to gain by contacting your state or territorial records coordinator and board, and your application can be denied consideration if you don’t. State and territorial boards and coordinators are partners with the NHPRC in the solicitation and evaluation of grant proposals. Our small staff could hardly get along without their collaboration. They have a major role in the Commission’s activities, and the success of your application could depend upon consultation with your state or territorial board.

Having made contact with your state or territorial board, if necessary for your project, please proceed.

STEP SEVEN

Prepare To Meet The General Requirements For An NHPRC Grant Application

Question 12: Are you able and willing to comply with the following NHPRC requirements?

- ☐ Your grant proposal must be submitted on our standard application and budget forms or photocopies of them.
- ☐ Your application must be typed or printed on only one side of the paper, unstapled (except for the copies), and free of any kind of binder.
- ☐ You must recognize that your original application and any materials you send with it (such as books, pamphlets, and photographic prints) become Federal records by law and cannot be returned to you.
- ☐ You must recognize that, in fairness to all applicants, we cannot consider any application that is not complete.
- ☐ You must send us the original, signed copy of your application (no stamped or initialed signatures, please).
- ☐ You must send copies of your application as follows:
 - From applicants for publications subventions or for documentary editions previously assisted by the NHPRC and essentially unchanged in personnel, scope, institutional sponsorship, and publications medium, the Commission requires only the original application.
 - From all other applicants, the Commission requires the original plus one copy, but *requests*, in order to expedite evaluation by outside reviewers, the original plus 10 copies.
 - From applicants who learned in Step Six that they must contact their state or territorial Historical Records Advisory Boards, the Commission also *requires* that one copy be sent to the board in the applicant’s state or territory, but additionally *requests* that they consult with the board regarding any need for additional copies.

Please note that all additional copies should be complete and include all appendices.

If you are able and willing to comply with all items above, please proceed.

STEP EIGHT

Prepare To Meet The Legal Requirements For An NHPRC Grant

Question 13: If you are awarded a grant from the NHPRC, will you be able to comply with the following Federal grant administration rules and regulations?

- ☐ Code of Federal Regulations, Title 36, Part 1206, “National Historical Publications and Records Commission,” **and**
- ☐ Code of Federal Regulations, Title 36, Part 1209, “Government Debarment and Suspension (Nonprocurement) and Governmentwide Requirements for Drug-Free Workplace (Grants),” **and**
- ☐ Office of Management and Budget Circular A-133, “Audits of State, Local Governments, and Non-Profit Organizations,” **and**
- ☐ Code of Federal Regulations, Title 36, Part 1207, “Uniform Administrative Requirements for Grants and Cooperative Agreements with State and Local Governments,” **or** Part 1210, “Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations”

The Code of Federal Regulations is available in most libraries, and you will find the applicable parts of it on NHPRC’s Web site: <<http://www.nara.gov/nara/nhprc/guidelin.html#administration>>.

If you are able to comply with legal requirements in the Federal documents listed above, you are ready to prepare your grant proposal. Please proceed to the following steps for writing your application.

STEP NINE

Write A Multi-Page Narrative Describing Your Project

Here is where you describe your project in detail (although we strongly urge you to stay under 20 double-spaced pages). We urge you to take advantage of the following tips on things to include to make your application stronger. You can pick out which tips apply to your project, but if you ignore these tips, your grant chances are minimal. We have organized the tips in relation to each of five major questions on which your narrative should include detail.

Question 14: What is the purpose of your project and what are its goals?

- ☐ The Commission prefers projects that help develop an overall program, strengthen an institution, increase its visibility or financing, or advance professional practices. So in addition to describing what your project will achieve, please tell us if it also will have broader influence.
- ☐ The Commission prefers projects that have arisen out of an organization’s self-analysis or study of needs. So please tell us if you are applying for something that is called for in an institutional self-study or a strategic plan, whether yours or someone else’s.
- ☐ The Commission prefers projects that do not die when NHPRC funding runs out. All projects come to an end, but the results or benefits they produce should be sustained. Please tell us how your program or the benefits we help produce will be continued beyond the grant period. Please note that the NHPRC discourages requests for funds to make up an institution’s revenue shortfalls.
- ☐ The Commission likes to know how a project turns out, whether it meets its goals, or whether it fails in a way from which all of us can learn. Therefore, in addition to specifying in your application the precise goals of your project, overall and within the grant period, please also explain how you will measure your success in meeting them.

Question 15: What is the significance of your project in relation to NHPRC goals?

- ☐ The Commission must learn here which, if any, of the three NHPRC top-priority strategic goals your project falls under. If your project is not within the top three goals, then please explain how it relates to the Commission's overall mission as identified on the introductory page of this booklet and explained in Step Two. Also, not all projects deal directly with documentary sources; if your project falls into this category, please explain how its purpose coincides with ours.
- ☐ The Commission funds projects that deal with historically significant documentary material, so please describe here the historical importance of individuals, events, developments, organizations, and places whose history is documented by collections in the project.
- ☐ The Commission funds projects involving collections that are demonstrably useful; therefore, please identify past and potential uses of material involved in your project in terms of the kind of use, the number of researchers per year, the sales volume of documentary editions, or other applicable "audience" expectations and use indications.
- ☐ The Commission prefers projects that make use of or build on the fruits of other projects. Please tell us, for example, if your electronic records project will test or apply specific recent research-and-development findings. If you need help in identifying resources useful in developing your project, just ask us.

Question 16: What is your plan of work for the grant period?

- ☐ Many proposals are not funded because reviewers and Commission members cannot envision the anticipated results and benefits or how the work will be accomplished. Therefore please provide ample evidence of preliminary planning. For example, an applicant requesting funds for a conference or workshop should include a draft agenda, names of speakers who have agreed to participate, and a description of who is to attend and how they will be recruited.
- ☐ The Commission needs to know what is going to happen in a project, when, and what staff are responsible. Please describe each stage of the work to be done within the grant period, and clarify complex work plans by including a time chart identifying anticipated activities or accomplishments month by month. For arrangement and description projects, indicate anticipated processing rates and the basis for determining them.
- ☐ The Commission prefers projects that adhere to generally accepted standards and procedures for archival work, records management, documentary editing, etc. For example, if your project involves microform production, please identify the technical standards you will apply. If you are applying to begin a documentary edition, or you are seeking NHPRC assistance for the first time for an on-going edition, please specify the methods you will apply to document collection, selection and arrangement, transcription, annotation, and indexing. Provide information about the original texts or documents and discuss how an authoritative text is to be established and the proportion of the total number of existing documents the edition will represent. Provide samples of the material to be edited of sufficient length and complexity to convey a clear idea of the methodology and final form of the proposed edition. The samples should illustrate the significance of the materials to be edited and should include photocopies of the original documents illustrating the editorial principles and procedures described in the narrative description.
- ☐ The Commission needs to know the volume of records involved in a project, so please describe the volume using standard archival measurements.
- ☐ The Commission wants applicants to describe the condition of materials involved in a project, so please comment on their past and present storage conditions, evidence of physical deterioration, type of paper or other medium, age, previous preservation measures, and any evaluation that has been made by a professional conservator.
- ☐ If your project involves materials currently under copyright, you should indicate what has been done to secure the necessary permission for publication of the materials.

- ☐ The Commission expects documentary publishing projects that have not previously applied for NHPRC support to be designed for an electronic environment, capable of supporting electronic as well as other forms of publication, so please explain how your new project will comply.
- ☐ The Commission insists that records arranged and described with Commission funds be entered into bibliographic networks, so please commit your project in your application to enter descriptions into such networks as RLIN (Research Libraries Information Network), OCLC (Online Computer Library Center), or WLC (Western Library Network), or to submit reports to NUCMC (National Union Catalog of Manuscript Collections). The Commission also encourages such projects to use the MARC (Machine-Readable Cataloging) format and the descriptive standards found in *Archives, Personal Papers, and Manuscripts*, so please state that you will do so, or have a strong justification why you cannot comply. Similarly, please indicate your intention to comply with the Commission's policy of not supporting, except as an integral part of a fuller documentary edition, item-level indexing and description, subject indexing below the series, box, or folder levels, calendaring, translation, or similar processes when there are less costly alternatives for describing records. For description projects, indicate the planned level of processing and description.
- ☐ The Commission supports only projects involving records that will be fully open to the public on equal terms for everyone, so please strongly justify any restrictions and otherwise clarify your compliance with the *Joint Statement on Access of the American Library Association and the Society of American Archivists: Guidelines for Access to Original Source Materials*, which you will find in the appendices of these guidelines.

Question 17: What products, publications, or other outcomes will be produced during the grant period?

- ☐ The Commission keeps track of the progress of documentary editions, so if you are applying for continuing support for one, please indicate the total number of volumes, microfilm reels, CD-ROMs, or other products you plan to produce, both in the grant period and in the completed project; identify the edition's anticipated year of completion; and explain any changes in your previous projections.
- ☐ The Commission needs to know whether applicants intend to copyright products or place them in the public domain, so please explain your intentions. The Commission may request that an institution waive copyright privileges if it feels that doing so is in the best interest of the archives and records community. And in accordance with Federal regulations, the Commission reserves, for Federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work.
- ☐ Grant products produced with NHPRC funds, except documentary publications, should be distributed free or at cost unless the applicant has received written approval for another arrangement. All revenues from product sales during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing.
- ☐ The Commission insists that you acknowledge NHPRC grant assistance in all publications and other products that come out of your project, so please explain how you will do that, along with how you will publicize and distribute documentary publications, handbooks, pamphlets, guides, standards, and other project products. Moreover, the Commission requires that all products formally published on paper, if paid for by the Commission, be printed on paper that meets at least the minimum requirements of U.S. Standard ANSI/NISO Z39.48-1992 or later for paper, and that documentary editions also meet Standard Z-36.66-1992 or later for binding.
- ☐ If your project will not produce a publication or product, please describe how its results of whatever other kind will be evaluated and made known to others who might benefit from them.

Question 18: What are the qualifications of the project director and other key personnel?

- ☐ The Commission expects the personnel in your project to be well qualified by training and experience, so please provide vitae of not more than two pages per person for existing staff, as well as job descriptions for staff to be hired, and describe the roles to be played by all project staff, consultants, and contractors; explain any special training planned for personnel as part of the project; and provide a compelling justification if the project director is not already a permanent employee of the project's institution.
- ☐ The Commission likes to know about any advisory boards to be used by a project, so if you are using volunteer boards as a source of special expertise (which the Commission encourages), please identify their members and qualifications, assure us that they have agreed to serve, and share copies of your grant application with them.

If you are applying for continued funding for a documentary editing project, you need not add vitae for staff already described in previous applications.

STEP TEN

Prepare Your Project's Budget

You need to know what type of funding you are proposing when you complete your project budget. Basically, there are two types of costs and three types of funding. You should be specific in delineating them as you prepare your budget.

Question 19: What types of costs are you proposing for your project?

- ☐ **Direct costs.** Direct costs are expenses that are attributable directly to the cost of a project, such as salaries, project supplies, travel expenses, and equipment rented or purchased for the project.
- ☐ **Indirect costs.** Indirect costs are those costs incurred for common or joint objectives and therefore not attributable to a specific project or activity. Typically, indirect costs include items such as overhead for facilities maintenance and accounting services. The Commission prefers not to provide grant funds for indirect costs.

Question 20: What types of funding are you proposing for your project?

- ☐ **Outright grant.** Outright grants are those awards requested by an applicant or approved by the Commission without any matching requirement.
- ☐ **Cost sharing.** Cost sharing is the financial contribution the applicant pledges to the cost of a project. Cost sharing can include both direct and indirect expenses, in-kind contributions, third-party contributions, and any income earned directly by the project (e.g., registration fees). The Commission prefers that applicants share at least 50 percent of the total cost of a project.
- ☐ **Matching grant.** A matching grant is a device for clearly demonstrating shared Federal/non-Federal support for projects. The Commission will match only funds raised from non-Federal sources, either new monies provided by the applicant's own institution specifically for the project or from a non-Federal third-party source. Matching funds may be requested by applicants either for new monies already in hand or to be raised. Alternatively, the Commission may make a matching fund offer conditional on an applicant's raising matching funds in a specified amount (usually dollar-for-dollar). The applicant's portion of the matching funds are included in the cost-sharing part of the applicant's budget as cash contributions.

Question 21: Are you willing and able to comply with the following general budget requirements?

- ☐ You must submit your budget on NA Form 17001, which is in the back of this booklet, or we will not have a uniform way to evaluate your budget requirements in relation to others, and will have to reject your grant application. However, you may use a copy of the form, including a computer-generated facsimile form on paper, if it is an exact replica. Please note that the form itself contains additional instructions for filling it out.
- ☐ You may request funding for up to three years, but if your project will take 18 months or longer, we must ask you to fill out a separate budget form for each project year or fraction thereof, because we may be able to fund only one year at a time, or funding may be conditional on your project's progress.
- ☐ We must ask you to provide specific budget figures, rounding off figures to the nearest dollar, not broad "guesstimates," and to indicate how you calculated each budget figure.

Question 22: Is the amount you request from the NHPRC one of the following:

- ☐ Under \$5,000? We impose no minimum, but we are reluctant to consider such small grant applications because they can cost more of your time and ours than the grant itself is worth, so if you apply for this small an amount, please make a strong justification in your narrative statement.
- ☐ Over \$250,000 per year? We impose no maximum, but because our appropriations for grants are small (they have been averaging \$5 million annually), it is difficult for us to make larger grants except for multi-year projects, so larger requests must be strongly justified in relation to our priorities in your narrative statement.

Question 23: Into which of the following cost categories do you fall?

- ☐ An educational institution? If so, you must consult OMB Circular A-21, "Cost Principles for Educational Institutions"
- ☐ A state, local, or Indian tribal government? If so, you must consult OMB Circular A-87, "Cost Principles for State, Local and Indian Tribal Governments"
- ☐ A non-profit organization? If so, you must consult OMB Circular A-122, "Cost Principles for Non-Profit Organizations"

You may obtain these OMB circulars from the NHPRC Web site, which is currently located at <<http://www.nara.gov/nara/nhprc/guidelin.html#administration>>, or by writing or calling the Office of Management and Budget, Office of Administration, Publications Office, Room 2200, New Executive Office Building, Washington, DC 20503; telephone: (202) 395-7332.

Now, in the next questions, let us help you deal with each of the cost categories in the budget form.

Question 24: How much do you need for each of the following items?

- ☐ **Salaries?** List each staff position and the full salary for that position, show the percentage of time each staff member will devote to the project, and calculate the value of that time. Indicate which positions are to be filled for the proposed project and which personnel are already on the staff of the applicant institution. The salaries of all personnel directly associated with a project are appropriate costs in proportion to the time devoted to the project. Grant funds may be used only to pay the salaries of individuals actually working on the project; you may count the time provided by advisory board members as cost-sharing. However, grant funds may not substitute for or supplement salaries of regular, full-time staff members (for example, a faculty member with a 12-month, full-time appointment, whose salary for that appointment is paid in full by an applicant university, should not request supplemental salary support for summer work). Grant funds may be used to pay existing full-time personnel working on a project only if the institution uses its own funds to hire substitute staff for their regular duties during the grant period. Applicants should indicate, in a narrative budget supplement, which positions would be involved in such an action.

- ❑ **Fringe Benefits?** Indicate the percentage basis for each amount. The Commission encourages the provision of benefits comparable to those accorded for a similar non-grant-funded position within the given institution.
- ❑ **Consultant Fees?** Include payments for consultant services and honoraria. However, please include consultant travel expenses in the “Travel” category. The Commission will need strong justification for a daily consulting fee above \$350.
- ❑ **Travel?** List the destination for each trip and the basis for calculating all travel costs. Individual trip costs and transportation rates (airfare, mileage costs, etc.) should be precise. Per diem (food and lodging) rates should be the applicant institution’s standard rate. If your institution has no standard rate of its own, please use standard Federal rates, which you may obtain by calling us or by consulting our Web site. Please justify all travel in your narrative description of the project, and please note that the Commission prefers not to fund staff travel to professional meetings unless the travel is essential to accomplish the goals of the project.
- ❑ **Supplies and Materials?** Itemize the estimated cost of specialized materials and supplies. Justify them in the proposal narrative or a narrative budget supplement. Note that the “Supplies and Materials” category of the budget also includes expenditures for equipment costing less than \$5,000 per unit. Sorry, but under no circumstances will the Commission provide grant funds for the acquisition of routine equipment such as office furnishings, microfilm equipment, shelving, and file cabinets, but we will provide grant support for the purchase of technical equipment, such as computers and peripherals essential for a project. However, we suggest that the cost of such technical equipment be divided evenly between grant funds and cost sharing. This applies both to expendable equipment (items costing less than \$5,000 per unit and included in the “Supplies and Materials” category of the budget) and to permanent equipment (equipment items costing \$5,000 or more per unit and included in the “Other Costs” category of the budget). Also, you may request grant funds for purchasing permanent equipment when you can demonstrate that purchasing will be less expensive than renting.
- ❑ **Services?** Include the cost of duplication and printing, long-distance telephone, equipment rental, postage, and other services related to project objectives that you are not including under other budget categories or as indirect-cost expenses. Note that the Commission does not provide grant funds for the rental of space, except for conferences.
- ❑ **Printing, Publication, and Product Distribution Costs?** Unless you are applying for a documentary-edition publication subvention, the following applies: The Commission will consider a request to use grant funds for costs of printing, manufacturing, and distributing a publication only if widespread distribution is important to your project. Please understand that if printing or manufacturing costs are awarded by the Commission, items produced using grant funds are to be made available free or for the cost of shipping and handling. For any project involving a publication or other product to be sold, you should discuss the production cost, number of copies to be produced, projected selling price, and distribution plans in your proposal narrative or in a narrative budget supplement. Any profits realized from product sales after the grant period must be reinvested to support activities of the grant recipient similar to those undertaken under the grant. All revenues from product sales during the grant period must be reported as program income and should be applied to the grant recipient’s cost sharing.
- ❑ **Other Costs?** Itemize any other direct costs of the project. Sorry, but the Commission will disallow any requests for funds for “contingency,” “general,” “administrative,” or “miscellaneous” purposes.

If you need to explain unusual lines in the budget or provide more detail about a proposed expenditure and your calculation of its costs, please attach a budget supplement.

STEP ELEVEN

Prepare Appendices

Question 25: Is there information that you should present in appendices?

You should present information that you regard as essential for understanding and evaluating the project and corroborating claims in your description of it in appendices, which may include such items as the following:

- ☐ the applicant institution's mission statement and collecting policy
- ☐ sample pages of a proposed finding aid
- ☐ sample documents
- ☐ an article describing the applicant institution and its holdings
- ☐ a resolution from the applicant's administrative body committing financial support to continuation of the program after the grant period
- ☐ statements of support from groups or organizations whose records or programs will be involved in or directly affected by your project

If your project is for an on-going documentary edition, appendices may be limited to copies of reviews of recent publications.

STEP TWELVE

Identify Reviewers

Question 26: Who do you consider qualified to review your application?

Please provide a list of up to ten such individuals. Include their institutional affiliations, addresses, and phone numbers. Reviewers should be expert on the content or methodology of your project, should not have discussed it with you previously, should not be associated with your proposal in any capacity, including as members of advisory boards, and should otherwise be capable of disinterested evaluation. You need not submit a list of possible reviewers if your project is a documentary edition that the Commission has previously assisted and you have not changed project director or form of publication.

STEP THIRTEEN

Last Steps

Question 27: What else must be done to complete the application?

In the back of this booklet, you will find a copy of Standard Form 424, "Application for Federal Assistance." The form is largely self-explanatory, with instructions on the back. Please complete the form in full and include it with your application, for which it is the cover sheet. We cannot process your application without the completed form.

After Standard Form 424, you will find three other Federal forms. These are as follows:

- ☐ a form entitled "Assurances—Non-Construction Programs" (Standard Form 424B)
- ☐ a form entitled "Certifications Regarding Lobbying: Debarment, Suspension and Other Responsibility Matters; and Drug-free Workplace Requirements"
- ☐ a form entitled, "Disclosure of Lobbying Activities" (Standard Form LLL), which is needed only from applicants and grantees who actually engage in lobbying.

You must complete and sign the first two forms as part of your application, and you may need to include the third. Place the first two forms in your application after the completed Standard Form 424, and add the third form if applicable.

You will also find a form entitled “Project Summary,” which must be included in your application. It asks five basic questions about your project. Your answers must be able to stand alone as a summary of your project, without dependence on references to material elsewhere in your proposal. That is, on the basis of this summary alone, a reader should be able to understand the purpose of your project, how it relates to the NHPRC’s purposes, how you will carry out the project, what it will produce, and who will direct it. You may answer those questions on the form provided in this booklet, or you may use a facsimile, adjusting the space provided under each question as needed for your answer to it. However, your answers in total must not exceed two pages. Place this form after the Federal forms in your application.

STEP FOURTEEN

Polish Your Proposal

Please check your proposal to be sure it meets criteria used by state boards, outside peer reviewers, and the Commission itself in evaluating applications. Not all of the following apply to every project, but your proposal will be more competitive if you use the following checklist to be sure you have answered the kinds of questions reviewers raise about projects like yours:

Question 28: Does the applicant institution have the following:

- ☐ adequate space to house the records it might acquire/process/preserve through this grant?
- ☐ proper environmental conditions and controls, with particular regard to humidity, temperature, air purity, and security?
- ☐ adequate staff and facilities to handle researcher requests for use of its holdings?
- ☐ a stable, dependable, and sufficient financial base for essential program activities?
- ☐ defined, written policies and procedures on acquisitions, processing, and researcher access to and use of materials?
- ☐ finding aids, such as registers, inventories, checklists, guides, or catalog cards?

Question 29: Does your proposal in general answer these questions:

- ☐ are the records to be dealt with significant for historical research?
- ☐ are the goals, objectives, and primary tasks feasible?
- ☐ are the project goals stated clearly; are they concrete and specific enough to be measurable?
- ☐ is there a clear commitment from the applicant institution to assume responsibility for the support of activities of a continuing nature once the grant period ends?
- ☐ is the project described in the context of the applicant’s overall program?
- ☐ does the project relate to objectives and priorities established by the Commission and/or the applicant’s state or territorial historical records advisory board?
- ☐ are there clear plans to publicize the grant and its accomplishments and to undertake outreach to user communities and other groups that can also benefit from the project’s results?

Question 30: In your plan of work, does your proposal do the following:

- ☐ include a description of the work to be performed by each person on the project?
- ☐ tie work to be done to a schedule or timetable?
- ☐ provide sufficient time for the accomplishment of project goals, but not more than really needed?
- ☐ indicate when related personnel activities, such as consultant visits and advisory board meetings, will take place and how they fit into the ongoing work of project staff?

- ☐ show evidence of previous experience with the techniques to be used or their successful use by others, and follow generally accepted standards?
- ☐ indicate, for activities that are large in scope or new to the institution, that a test or pilot to identify problem areas or assess the validity of project goals and approaches has occurred?
- ☐ include drafts of any forms, cover letters, instructions, finding aid formats, etc., that are to be used during the project?
- ☐ show that the project goals are supported by other parties whose cooperation is necessary for ultimate success?
- ☐ indicate awareness of other similar projects elsewhere, and the factors contributing to their success or failure?
- ☐ include a description of any follow-up or continuing activity that will (or should) occur after project completion?

Question 31: Concerning personnel, does your proposal do the following:

- ☐ note the names, qualifications, and duties of all known personnel involved in a substantial way?
- ☐ propose the use of personnel whose backgrounds and qualifications are appropriate for the duties to be undertaken?
- ☐ include a job description and statement of qualifications for all positions to be filled?
- ☐ note how the search for qualified candidates will take place and provide for a sufficiently wide and careful search to obtain the strongest possible candidates?
- ☐ note the names and qualifications of any consultants, advisory board members, or other advisors, paid or unpaid, to the project?

Question 32: Concerning the budget, does your proposal do the following:

- ☐ indicate which costs are to be covered with grant funds and which costs will be met by the applicant or other institutions?
- ☐ explain how budget figures were determined?
- ☐ account for all expenditures suggested by the proposal narrative?
- ☐ include a separate budget form for each year of a project lasting 18 months or longer, as well as a grand total at the end of the budget form used for the final year?
- ☐ include appropriate cost-sharing contributions?
- ☐ reflect efforts to achieve maximum economy in carrying out a project?
- ☐ provide accurate figures (do they add up)?

Question 33: Concerning any products, does the proposal include the following:

- ☐ descriptions of the format, content, and availability of any finding aids or databases to be produced?
- ☐ descriptions of the format and content of, and distribution plans for, any publication to be produced, as well as justification for publication?
- ☐ description of the methods to be used in the preparation, microfilming, or digitization of any records, and a statement that the project will adhere to the Commission's guidelines and suggestions in these areas?
- ☐ evidence of careful advance consideration and decision-making as to the purpose, audience, scope, and content of any intended product?

STEP FIFTEEN

Check And Mail Your Proposal

There, you've done it—your proposal is strong and complete! Or is it? Please give your application the best possible chance of receiving funding by going back through it to make sure that you have answered all the questions we have posed, complied with all the requirements we have identified, and taken advantage of all the tips we have offered.

If any questions remain, please contact us by phone (202-501-5610) or e-mail <nhprc@arch1.nara.gov>. And if you have finished within two months of the deadline for submission, please send us a copy of your draft so that we can advise you on how to make it more competitive. Also, use the following checklist to be sure your application is complete and the final draft ready on time.

- ☐ If your proposal meets the top-priority standard—you determined this in Step Four—**June 1** is the postmark deadline for sending it to us. Otherwise, **October 1** is the postmark deadline. If your application package is not postmarked by the appropriate date, we cannot process it.
- ☐ You may need to send **copies** to your state or territorial Historical Records Advisory Board as well as to us. As you learned in Step Six, applicants for grants other than documentary editing and publishing or Native American projects, and whose work will take place within a single state, must submit at least one copy of their proposals to their state or territorial board at the same time that they submit their proposals to the Commission. We ask that you review Step Seven to check that you have included everything you should with your application, including the correct number of copies to send to us and to your state or territorial board.
- ☐ Your **“Application for Federal Assistance”** form (Standard Form 424), described in Step Thirteen, must be **completely filled out, and signed and dated** by the applicant (if unaffiliated with an institution) or by the applicant institution's authorized representative.
- ☐ Your application must include the **Federal-law compliance forms** we described in Step Thirteen, and the forms must be **completely filled out and signed** by the applicant (if unaffiliated with an institution) or by the applicant institution's authorized representative.
- ☐ Your application must include the **“Project Summary” statement**, as described in Step Thirteen, which must not run more than two pages nor direct the reader to “see inside” your full project description.
- ☐ Your application must include your project's **budget on NA Form 17001** or an exact facsimile, as described in Step Ten.

That's it! You're ready. We want good proposals. We welcome yours. Thanks for working hard to give us a chance to help you do what we both want—to document the fascinating history of our country and its people!

You will want to know, of course, what may happen to your proposal now, so please go on to the final step.

STEP SIXTEEN

Prepare For The Evaluation Of Your Proposal

Question 34: Who will evaluate it?

- ☐ **State Boards.** Depending on what you learned under Step Six, your state or territorial Historical Records Advisory Board *may* evaluate your application, on technical merits as well as on its relation to state-plan priorities, and can return proposals found inappropriate or incomplete, with recommendations for revision, in which case the Commission will not act unless you submit a revision for consideration in a later cycle.

- ☐ **Peer Reviewers.** We *will* ask from five to ten external peer reviewers to evaluate your proposal if (1) it requests NHPRC funds of \$75,000 or more; (2) it requests a grant period of two years or more; (3) it involves complex technological processes and issues; (4) if it is a resubmission of an application that the Commission previously rejected; or (5) if your proposal is not reviewed by a state or territorial board. Please note that these criteria do not apply to continuing documentary editions projects that are substantially unchanged in personnel and work plan.
- ☐ **Special Reviewers.** On-going documentary editions assisted by the NHPRC may be subject to special review by staff and outside specialists when a change of project director/editor is in prospect; when difficulties arise for a sponsoring institution or a change in that institution is in prospect; when a major search for materials has been completed; when a project finishes publication in one medium and plans to begin publication in another; or when there is a change in the project's estimate of quantity of publications and/or time needed to complete the project.
- ☐ **Commission Staff.** Members of our staff will review your proposal for completeness, conformity to application requirements, and overall eligibility, and will make overall recommendations to the Commission based on reviewers' evaluations.
- ☐ **The Commission.** After individually reviewing your proposal, and recommendations on it from state boards, peer reviewers, and Commission staff, Commission members will meet to deliberate on proposals and recommend to the Archivist of the United States which ones should be funded. By statute the Archivist chairs the Commission and has final authority to make or deny a grant. Throughout this process, all members of the Commission and its staff follow conflict-of-interest rules to assure fair and equal treatment of every application.

Question 35: What and when will you hear from us?

- ☐ We will acknowledge receipt of your application soon after we receive it.
- ☐ Approximately two months after the submission deadline, you will receive from the Commission staff, if applicable, a copy of your state board's evaluation summary, blind copies of reviewers comments, and/or questions from staff. We will ask you to respond, which will give you a chance to answer questions and strengthen your application. However, be prepared to respond quickly, because the available turnaround time before your application goes to the full Commission will be short.
- ☐ If you are eligible to apply by June 1, you may expect to hear the Commission's final decision informally by December of the year in which you apply. October 1 applicants may expect to hear informally by the following March. The Commission's recommendation to the Archivist may take any of the following forms:
 - approval of your proposal as submitted
 - approval of your proposal, but with an offer of fewer funds than you requested
 - approval of your proposal conditional on your provision of matching funds
 - approval of your proposal contingent on some other requirement
 - endorsement of your proposal without an award of funds
 - rejection of your grant application with an invitation to revise and resubmit
 - rejection of your grant application

You now know what to expect as well as what to do in applying for a grant from the National Historical Publications and Records Commission. This section of our guidelines is complete, and there is nothing more for you to do until you hear back from us. If what you hear back is that you will receive a grant, you will find in the next section the guidance you will need for successfully administering it. We hope you will need this section!

HOW TO ADMINISTER AN NHPRC GRANT

CONGRATULATIONS!

The NHPRC has awarded you a grant on the basis of the application you submitted to us. We naturally want your project to accomplish all that you (and we) have envisioned for it. What follows is information that will help you administer your grant from the Commission successfully, arranged under major topics.

TOPIC ONE

Basic Administrative Requirements

As you learned in earlier sections of these guidelines, the Commission makes grants in accordance with some very specific Federal rules and regulations, which also apply to the way in which those grants are administered. Please be sure to review the legal requirements for Federal grant administration, set forth in Steps Eight and Ten above and in the appendices. These regulations are supplemented by the Commission's own requirements and suggestions for grant administration, as indicated below. What follows are the basics of grant administration in question-and-answer format.

Question 1: When will the terms of the grant be specified?

The Commission staff notifies project directors informally of awards soon after the Commission makes its determination. However, the official grant instrument is a grant notification form from the Commission's chair to the project director. This form and its attachments and references specify the terms of the grant.

Question 2: Who administers the grant?

Responsibility for administering the grant is shared by the project director and the institution disbursing the grant funds. Grant recipients are generally required to submit annual financial status reports and semi-annual or annual narrative progress reports (depending on the nature of the project), as well as final reports at the conclusion of the grant period. Ongoing documentary editing projects are subject to slightly different requirements, explained under "Reporting Requirements" below.

TOPIC TWO

Grant Period

Question 3: When will the grant begin?

The grant period begins and ends on the dates specified in the official grant instrument. Grant periods must begin on the first day of a month and end on the last day of a month. The grant period may begin at any time after the Commission makes its determination. However, it is advisable to allow at least six weeks of lead time between the date of the Commission meeting at which the determination is made and the start of the grant period.

Question 4: How soon can grant funds be used?

Grant recipients may not pay expenses incurred prior to the official starting date of the grant period with grant funds, nor may they count any funds expended before the start of the grant period in the cost-sharing or matching categories.

Question 5: How are grant funds made available?

The grant notification form will be accompanied by instructions that explain how to receive grant funds and how to manage them. All payments are made by electronic funds transfer into designated accounts. Please feel free to consult the Commission staff if you require more information.

TOPIC THREE

Recruiting Project Personnel

Question 6: Does receiving an NHPRC grant affect recruitment of project personnel?

Yes, it does. Grant recipients should conduct the widest possible recruitment effort for personnel not specified by name in the grant proposal. Professional positions should ordinarily be advertised in such periodicals as the *Chronicle of Higher Education*, the American Historical Association's *Perspectives*, and the Organization of American Historians' *Newsletter* (for documentary editing projects), and in the Society of American Archivists' *Newsletter* and/or *Employment Bulletin* and the American Association of State and Local History's *Dispatch* (for archives projects). State, regional, and subject-oriented media are also appropriate. Electronic postings are encouraged.

TOPIC FOUR

Accounting and Audit Requirements

Question 7: What are the legal requirements for keeping track of grant funds?

Grant recipients must keep financial records for each grant in accordance with generally accepted accounting practices. In other words, you must be able to show how you spent the money in a clearly understandable manner. These and other program records are subject to inspection and audit by authorized Federal agencies at all reasonable times during the grant period and for three years thereafter.

Federal regulations specify standards for grant recipients' financial management systems. State, local, and Federally recognized Native American tribal governments may use their own financial management systems, as authorized by state law, as well as their own procedures, as long as the system is able to provide the required financial reports and to trace funds to a level of expenditure sufficient to show that grant funds have been spent in compliance with applicable laws and regulations (see 36 CFR 1207). For institutions of higher learning, hospitals, and other non-profit organizations, financial systems must meet seven key financial management standards. In very general terms, these grant recipients must be able to demonstrate accounting, budgetary and internal controls, cash management, reporting capability, cost allowable determination, and source documentation (see 36 CFR 1210).

Question 8: Are grant funds subject to audits?

Yes, grant recipients must comply with the audit requirements set forth in OMB Circular A-133, "Audits of State, Local Governments, and Non-Profit Organizations." Generally, grant recipients that expend \$300,000 or more in a year in Federal awards must have a single or program-specific audit conducted for that year. A reasonable portion of grant funds, as defined in the OMB circular, may be used to comply with audit requirements. The Commission prefers that grant recipients assume such costs as institutional cost sharing.

TOPIC FIVE

Procurements and Subgrants

Question 9: Are there rules that affect procurements?

Yes, there are. Please see 36 CFR 1207 or 1210 as applicable.

Question 10: What if there is a problem with a contractor?

The Commission will not be responsible for the settlement of contractual or administrative disputes relating to procurements.

Question 11: Are there any limitations on the awarding of subgrants or contracts?

Yes, there are. Grant and subgrant recipients must not make any award (subgrant or contract) to any party which is debarred, suspended, or otherwise excluded from or ineligible for participation in Federal assistance programs. The General Services Administration publishes a monthly *List of Parties Excluded*

from *Federal Procurement or Nonprocurement Programs*, which grant recipients should consult before awarding a subgrant or contract. The *List* is available by subscription from the Government Printing Office (telephone 202-512-1800, reference stock number 722-002-00000-8, or electronically in two ways: World Wide Web access at <<http://www.arnet.gov/epl>>, or via electronic bulletin board (dial 202-219-0132 and use settings N-8-1-F).

TOPIC SIX

Changes in the Grant Project

Question 12: May an extension of the grant period be requested?

Yes, you may request the extension of a grant period if this is absolutely necessary to conclude your project. You should do so before that period is scheduled to end, but not more than two months before that scheduled end. You must be up-to-date in submission of financial and narrative reports in order to be considered for such an extension. No more than two extensions will be granted. The request must be signed by the grant-receiving institution's authorized representative as indicated on the grant application form (SF 424).

Question 13: What if there are unexpected expenses in a budget category?

You may adjust the amounts allocated to existing budget lines for both grant funds and cost sharing to meet unanticipated program needs. You may also transfer grant funds among existing NHPRC-funded direct cost categories that appear in the final project budget approved by the Commission at the time of the grant award. Cost-sharing funds may also be shifted among existing cost-sharing categories. For grants in which the NHPRC's award is less than \$100,000, grant recipients may make these transfers without NHPRC approval. When Commission grant awards are \$100,000 or more, grant recipients must obtain prior approval from the NHPRC when cumulative transfers among direct cost categories total more than 10 percent of the **total project budget** (i.e., grant funds plus other funds).

In addition, the Executive Director of the Commission, or the Executive Director's designee, may approve the use of NHPRC grant funds for new cost categories for which Commission funds were not provided in the final approved budget where such action seems appropriate for the fulfillment of the original purposes of the grant, and where the amount of funds involved does not exceed 10 percent of the amount of the award, or \$5,000, whichever is less. Requests to establish these new cost categories must be made in writing and signed by the grant-receiving institution's authorized representative. Requests that exceed this limit must be approved by the full Commission.

Question 14: What types of project changes require NHPRC approval?

Prior written approval must be obtained from the Commission for financial or programmatic changes in all cases, including the following:

- ☐ Revision of the scope or objectives of the project.
- ☐ Change of the project director or other key project personnel who are specifically named in the grant application or award or related correspondence.
- ☐ Contracting out, subgranting, or otherwise obtaining the services of a third party to perform activities central to the purposes of the grant, unless specified in the grant proposal.

You must submit all requests for approval of budget or programmatic changes in the form of a letter signed by the grant-receiving institution's authorized representative for the grant.. A written response signed by the Commission's Executive Director, or the Executive Director's designee, will constitute approval for the changes.

TOPIC SEVEN

Reporting Requirements

Question 15: What reports are required?

All grant recipients must submit financial status reports and narrative progress reports as specified in the grant notification award form. Please be sure the reports are signed by the appropriate official. Financial reports must be submitted on Standard Form 269 and signed by the grant-receiving institution's authorized representative or by an appropriate institutional fiscal officer. Narrative reports must be signed by the project director. Please feel free to call upon the Commission staff for help in completing the financial report form.

You need submit only the original of each report to the NHPRC. For all projects for which copies of the proposal were submitted to and reviewed by a state or territorial historical records advisory board, please send one copy of each narrative report to the state or territorial historical records coordinator. Other projects should send courtesy copies of narrative reports to state or territorial coordinators whose states or territories are involved in or affected by the project. Please indicate the names of individuals to whom copies of the report have been sent in a cover letter when submitting the original report to the Commission.

Please note that narrative reports are Federal records, and are subject to the requirements of the Freedom of Information Act.

Question 16: What does the NHPRC want in these narrative reports?

Grant recipients should discuss the following elements in their interim and/or final narrative reports:

- ☐ You should briefly discuss the objectives of your project. Please outline the project activities that were scheduled to take place during the reporting period. You should include enough detail to acquaint the reader with your project without requiring a rereading of your proposal.
- ☐ You should include a summary of project activities undertaken during the reporting period. Please indicate whether the project is proceeding on schedule, or if there is a need to revise the work plan, staffing pattern, or budget. If the project has established a Web site, please provide the URL (Uniform Resource Locator).
- ☐ The most important part of your report is the record of your accomplishments. Please analyze in detail the goals met during the reporting period. You should note any goals for the period that were not accomplished (documentary editing projects should explain how this will affect the anticipated completion date of the project). Also, please note significant developments, such as the publication of volumes or the completion of finding aids, as well as any work that is pending with publishers.
- ☐ Project directors are encouraged to offer frank assessments of their projects. Every project has its problems. A discussion of how you have dealt with your problems will be more helpful to the Commission than an exclusive concentration on your successes. Were the goals set in the original proposal realistic? If not, what alternative goals might have been accomplished during the grant period? Did the project staff face unexpected problems? If so, how were the problems solved, or how could they be avoided in the future? Has the project led to unexpected benefits? If so, what were they? Is there general satisfaction with the results of the project? If not, why not? A full discussion of these matters in your narrative report will aid the Commission in assessing future grant applications and providing guidance to other projects.
- ☐ Please discuss the project's impact, if any, on the grant-receiving institution and others. You should mention any publicity or interest generated as a result of the project. The Commission encourages you to reap the maximum benefit for your project from all public contacts. Please note project-related publications, speaking engagements, or professional development efforts undertaken by the staff during the grant period or planned for the future. We urge grant recipients to prepare and distribute their own information releases regarding their NHPRC grants. You should make mention of support by the Commission (and by the state or territorial historical

records advisory board, where applicable). Please attach copies of any newspaper or other printed media coverage of project activities or reviews of publications to project narrative reports.

Question 17: What does the NHPRC expect in terms of a final report?

- ☐ In your final report, please indicate whether all or part of the project activities will be continued after the end of the grant. Also, please indicate whether any of these activities will be supported by institutional funds or by grant funds, and whether the NHPRC grant was instrumental in obtaining these funds.
- ☐ Grant-receiving institutions, grant directors, or grant staff personnel may publish the results of any work supported by a grant or award without review by the Commission. However, publications or other written products resulting from the project must acknowledge the assistance of the Commission.
- ☐ For records-related projects, grant recipients are required to send the Commission *three* copies of any finding aids, reports, manuals, guides, forms, and other materials produced by grant projects at the time that the final narrative report is submitted. These products then can be shared with others interested in similar projects and can be used in evaluating more fully the results of projects supported by the Commission.
- ☐ Documentary editing projects should send the Commission *three* copies of any book edition volumes when they are published, unless support for their publication was provided by an NHPRC subvention grant. For these volumes, presses rather than projects are responsible for submitting the required number of volumes. Somewhat different requirements apply to microform editions.
- ☐ The Commission encourages grant project directors and staff members to submit articles about completed projects or significant project developments to appropriate journals and newsletters (including the Commission's own newsletter, *Annotation*), especially when the methodology or results of a project might be of broad interest. The project director should inform journals and newsletters of the completion of the project and of any publications, reports, finding aids, and manuals produced through a grant. Such announcements should include mention of the availability, whether by loan, purchase, or free of charge, of these written products, and the address from which they may be obtained.
- ☐ If project activities lend themselves to an interesting photograph, or if the project involves historical photographs, the NHPRC would welcome copies of one or more photographs (preferably 8" x 10") for use in its publicity.

TOPIC EIGHT

State or Territorial Historical Records Coordinator and/or Advisory Board

Question 18: Is contact with state records officials appropriate?

Grant recipients should keep their state or territorial coordinators informed of project progress and problems. Grant recipients may wish to invite coordinators and/or advisory board members to visit their projects during the grant period.

TOPIC NINE

Correspondence and Questions

Unless otherwise indicated, please send all correspondence relating to your grant to the National Historical Publications and Records Commission, National Archives and Records Administration, 700 Pennsylvania Avenue, NW, Room 106, Washington, DC 20408-0001. Including the grant number on all correspondence will ensure prompt response and payment.

COMMENTS AND SUGGESTIONS

The Commission welcomes any comments, observations, or suggestions you may care to make regarding its grant program, policies, or procedures. We would especially like to know of any administrative problems encountered in carrying out the project. We particularly welcome suggestions useful to others who are planning or undertaking projects similar to your own.